



Syndicate Subscription Legal Plans

WASTE & RECYCLING CORPORATE CLIENT INTAKE QUESTIONNAIRE:

TWO THINGS THAT CANNOT WAIT: releases and spills carry immediate reporting duties, and a letter identifying your company as a potentially responsible party at a contaminated site has response deadlines and long-tail liability — waste generators, transporters, and facilities can all be named years after the fact. Tell us about any notice, spill, or permit action first.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for waste and recycling businesses — collection and hauling, transfer stations, material recovery facilities, landfills, composting and organics, construction and demolition, hazardous and liquid waste, scrap and electronics recycling, and waste to energy. If a question does not apply, write "N/A."

NAME OF THE CLIENT:

☐ Legal Entity Name: _____

DBA / facility names: _____ Year founded: _____

Entity type:

☐ Corporation

☐ LLC

☐ Partnership

☐ Public company

☐ Municipal or district

☐ Subsidiary of a parent

☐ Foreign parent

State of formation: _____ EIN (last 4): _____

States of operation: _____ **Syndicate Plan Member ID:** _____

Contact person & title: _____

Address: _____

City: _____ County: _____ State: _____ Zip: _____

Phone: _____ Email: _____

Annual revenue: \$ _____ Employees & drivers: _____

PART 1 — YOUR OPERATIONS & MATERIALS

1.1 Operations:

☐ Collection & hauling

☐ Transfer station

☐ Material recovery facility

☐ Landfill

☐ Composting & organics

☐ Construction & demolition debris

☐ Hazardous waste treatment, storage or disposal

☐ Liquid waste & septic

☐ Medical or regulated waste

☐ Scrap metal recycling

☐ Electronics recycling

☐ Paper & fiber recycling

☐ Plastic recycling

☐ Glass recycling

☐ Rubber & tire recycling

☐ Waste to clean energy

1.2 Facilities: _____ Tons per year: _____ Collection vehicles: _____



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1.3 Describe your operations, service areas, and current stage: _____

PART 2 — SERVICES NEEDED

Entity, Governance & Filings:

- | | |
|--|--|
| ☐ Formation or incorporation | ☐ Entity conversion / restructuring |
| ☐ Operating agreement / bylaws | ☐ Corporate resolutions |
| ☐ Annual reports & business filings | ☐ Foreign qualification |
| ☐ Business licenses & permits | ☐ Change of ownership filings |

Permits, Siting & Environment:

- | | |
|--|--|
| ☐ Facility permits & permit modifications | ☐ Plant & facility siting |
| ☐ Land use & zoning approvals | ☐ Air permits & emissions compliance |
| ☐ Water discharge & stormwater permits | ☐ Groundwater & landfill gas monitoring |
| ☐ Greenhouse gas emission compliance | ☐ Closure, post-closure & financial assurance |
| ☐ Water rights & resource planning | ☐ Land trusts & natural resource matters |

Waste Handling & Regulatory Compliance:

- | | |
|---|---|
| ☐ Waste classification & profiling numbers | ☐ Generator, transporter & facility identification |
| ☐ Manifesting & tracking requirements | ☐ Hazardous waste program compliance |
| ☐ Transportation & hazmat requirements | ☐ Recordkeeping & reporting obligations |
| ☐ Inspection response & violations | ☐ Administrative action defense |
| ☐ Waste acceptance & screening procedures | ☐ Diversion & recycling mandates |

Contracts, Municipal & Commercial:

- | | |
|--|--|
| ☐ Municipal franchise agreements & bidding | ☐ Rate setting & rate adjustment provisions |
| ☐ Commercial & residential service agreements | ☐ Disposal & tipping fee agreements |
| ☐ Recyclable commodity sales agreements | ☐ Power purchase agreements |
| ☐ Hauling & subcontractor agreements | ☐ Equipment purchase & lease agreements |
| ☐ Host community agreements | ☐ Supply chain & commercial disputes |

Liability, Safety & Claims:

- | | |
|--|---|
| ☐ Contaminated site & responsible party matters | ☐ Cost recovery & contribution claims |
| ☐ Nuisance, odor & neighbor claims | ☐ Property damage & personal injury claims |
| ☐ Workplace safety programs & citations | ☐ Vehicle & fleet safety compliance |
| ☐ Insurance program & coverage review | ☐ Insurance coverage disputes |



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Capital Markets & Finance:

- | | |
|---|--|
| ☐ Capital markets consultation | ☐ Private placement (Reg D / Reg A) |
| ☐ Equipment & fleet finance | ☐ Facility & project finance |
| ☐ Bond or public financing * | ☐ Exchange listing (OTC, Nasdaq, NYSE, international) |
| ☐ Securities & blue sky compliance | ☐ Mergers, acquisitions & route purchases |
| ☐ Investor agreements & cap table | ☐ Restructuring or bankruptcy |

* For revenue bonds or public financings, please also complete our Municipal & Public Finance Intake Form.

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (permit, bid, response, closing): _____

PART 3 — FACILITIES & PERMITS

Facility / Site	Location	Type	Permit Number	Expires

3.1 Are all facility, transporter, and generator authorizations current? ☐ Yes ☐ No

3.2 Are permit modifications, expansions, or new facilities planned? ☐ Yes ☐ No

3.3 Is closure and post-closure financial assurance adequate? ☐ Yes ☐ No

Closure and post-closure obligations survive the end of operations and are often the largest long-term liability on the balance sheet.

3.4 Have permits been denied, conditioned, appealed, or suspended? ☐ Yes ☐ No

3.5 Are there host community agreements or local approvals to maintain? ☐ Yes ☐ No

3.6 Is there organized community or neighbor opposition to a site? ☐ Yes ☐ No

If yes, explain: _____

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PART 4 — WASTE HANDLING & COMPLIANCE

Program Area	In Place	Needs Work	N/A
Waste acceptance & screening procedures	☐	☐	☐
Waste classification & profiling	☐	☐	☐
Manifesting & shipment tracking	☐	☐	☐
Hazardous waste accumulation & storage limits	☐	☐	☐
Transportation & hazmat training	☐	☐	☐
Spill prevention & response plan	☐	☐	☐
Recordkeeping & reporting calendar	☐	☐	☐
Groundwater & gas monitoring	☐	☐	☐
Employee safety training	☐	☐	☐
Subcontractor & downstream vendor vetting	☐	☐	☐

4.1 Do you handle hazardous, regulated, or special wastes? ☐ Yes ☐ No

4.2 Have you received unacceptable, mislabeled, or hidden hazardous material? ☐ Yes ☐ No

4.3 Have there been spills, releases, fires, or exceedances in the last three years? ☐ Yes ☐ No

If yes, explain: _____

4.4 Have you received notices of violation, penalties, or consent orders? ☐ Yes ☐ No

If yes, explain: _____

4.5 Do you track where materials go after they leave your facility? ☐ Yes ☐ No

Downstream vendor diligence matters: liability for improper disposal can follow material to its final destination, including exported material.

PART 5 — SITE LIABILITY & CLAIMS

5.1 Have you been identified as a potentially responsible party at any site? ☐ Yes ☐ No

Site, agency & date of notice: _____

Generators, transporters, and facility operators can all face liability for cleanup costs, often decades after the activity in question.

5.2 Are there cost recovery, contribution, or allocation proceedings underway? ☐ Yes ☐ No

5.3 Is there known contamination or monitoring at any owned or leased site? ☐ Yes ☐ No

5.4 Have there been odor, dust, noise, vector, or traffic complaints? ☐ Yes ☐ No

If yes, explain: _____

5.5 Are there personal injury or property damage claims pending? ☐ Yes ☐ No

If yes, explain: _____



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5.6 Did you acquire any site from a prior owner, and was diligence performed? ☐ Yes ☐ No

PART 6 — CONTRACTS, MUNICIPAL WORK & COMMODITIES

Counterparty	Agreement Type (franchise, disposal, commodity, hauling)	Term	Annual Value \$	Signed?

6.1 Do you hold municipal franchises or public collection contracts? ☐ Yes ☐ No

Jurisdictions & expiration dates: _____

6.2 Do contracts allow rate adjustments for cost, commodity, or regulatory changes? ☐ Yes ☐ No

6.3 Do diversion, reporting, or organics requirements apply? ☐ Yes ☐ No

6.4 Do you sell recovered commodities, and are quality and rejection terms defined? ☐ Yes ☐ No

6.5 Do you export materials, and are destination country requirements met? ☐ Yes ☐ No

6.6 Do you generate energy, fuel, or credits from waste? ☐ Yes ☐ No

PART 7 — FLEET, WORKFORCE & FINANCE

7.1 Do commercial vehicles require federal or state authority? ☐ Yes ☐ No

7.2 Are driver qualification, hours, and maintenance records current? ☐ Yes ☐ No

7.3 Have there been crashes, injuries, or fatalities involving your operations? ☐ Yes ☐ No

If yes, explain: _____

7.4 Employees: _____ Drivers: _____ States with workers: _____

7.5 Is any part of the workforce unionized? ☐ Yes ☐ No

Existing Debt / Facility	Lender or Investor	Balance \$	Maturity	Collateral

7.6 Capital sought: \$ _____ Purpose: _____

7.7 Capital strategy:

- | | |
|--|--|
| ☐ Fleet & equipment | ☐ Facility development or expansion |
| ☐ Route or business acquisition | ☐ Working capital |
| ☐ Growth equity | ☐ Public offering or listing |
| ☐ Sale of the company or facilities | ☐ Not sure — need advice |



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PART 8 — DISPUTES, DOCUMENTS & CERTIFICATION

8.1 Current disputes:

- | | |
|--|---|
| ☐ Environmental enforcement | ☐ Site cleanup or contribution claim |
| ☐ Neighbor or nuisance claim | ☐ Municipal contract dispute |
| ☐ Commodity or customer dispute | ☐ Vehicle or injury claim |
| ☐ Insurance coverage dispute | ☐ Labor claim |
| ☐ None | |

8.2 Is a non-disclosure agreement required before documents are shared? ☐ Yes ☐ No

Please provide the following, if applicable. Check each item available.

- | | |
|---|---|
| ☐ Formation & governance documents | ☐ Ownership / cap table |
| ☐ Financial statements & projections documents | ☐ Permits, approvals & financial assurance |
| ☐ Franchise & municipal contracts | ☐ Disposal & commodity agreements |
| ☐ Environmental reports & monitoring data | ☐ Agency notices & inspection reports |
| ☐ Insurance policies & loss runs | ☐ Loan & equipment finance documents |

Certification:

I declare that the information provided in this questionnaire is true, correct, and complete to the best of my knowledge, and that I am authorized to provide it on behalf of the business named above. I understand this information is provided to Syndicate Subscription Legal Plans in confidence for the purpose of evaluating and scoping this engagement.

Signed and dated this ____ day of _____, 20__

Signature: _____

Print Name: _____

Title: _____

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Your information will be reviewed within one hour.